

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

U.S. PTO  
JC474 10/22/01  
10/22/01  
10/22/01  
10/22/01

Applicant: Thomas A. Keim, et al.

Group Art Unit: Not yet assigned

Application No.: Not Yet Assigned

Examiner: Not yet assigned

Filed: Herewith

Entitled: ALTERNATOR CONTROL CIRCUIT  
AND RELATED TECHNIQUES

Docket: MIT-075AUS

*TC  
J. A. Gaiman  
9-25-01*

Certificate of Mailing (37 C.F.R. 1.8(a))

I hereby certify that this correspondence is being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date set forth below.

10/22/01

Date of Signature  
and Mail Deposit

By: Barry Gaiman  
Barry Gaiman  
Reg. No. 42,562  
Agent for Applicant(s)

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

It is desired to cite for the record in this application the enclosed documents listed on the attached copy of PTO Form #1449. The paragraph(s) marked below are applicable to this Information Disclosure Statement.

(1) The enclosed Information Disclosure Statement is being filed within three months of the filing date or within three months of the entry of the national stage



of the above-identified application or before the mailing of a first Office Action on the merits. Accordingly, Applicant(s) believes that no fee or certification is required.

(1a) Applicant(s) believe the enclosed Information Disclosure Statement is entitled to the benefit of 37 C.F.R. § 1.97 (b) (3). Accordingly, Applicant(s) believe that no fee or certification is required.

(1b) Pursuant to 37 C.F.R. § 1.97(c), the enclosed Information Disclosure Statement is being filed before the mailing date of a final action or a notice of allowance and is accompanied by:

a certification under 37 C.F.R. § 1.97(e);  the fee set forth in § 1.17(p).

PETITION UNDER 37 C.F.R. § 1.97(d)

(2) Pursuant to 37 C.F.R. § 1.97(d), Applicant(s) hereby petition the Assistant Commissioner to consider the attached Information Disclosure Statement. Applicant(s) state that the issue fee has not been paid and that a certification under 37 C.F.R. § 1.97(e) is provided herein, along with the petition fee of \$130.00 required under 37 C.F.R. § 1.17(i).

CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (1)

(3) The undersigned hereby certifies that each item of information contained in the attached Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application mailed not more than three months prior to the filing of this statement.

CERTIFICATION UNDER 37 C.F.R. § 1.97 (e) (2)

(4) The undersigned hereby certifies that no item of information contained in the attached Information Disclosure Statement was cited in a communication from a foreign patent office in a counter part foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual having a

Applicant No.: Not Yet Assigned

Filed: Herewith

File No.: MIT-075AUS

USPS PRO  
JC474 10/22/01  
10/22/01

duty of disclosure as set forth in 37 C.F.R. § 1.56 (c) more than three months prior to the filing of this statement.

The filing of this Information Disclosure Statement is not a representation by the undersigned as to personal knowledge of the contents of every word or phrase of the material enclosed or that reliance on other suitably trained professionals has not been made.

If a search report of a searching agency is enclosed identifying the nature of the relevance of each document, such a designation is deemed to satisfy Rule 98(a) (3) even if in a foreign language, since the few terms of relevance therein are deemed of universal cognizance. However, Applicant(s) does not necessarily adopt the position reflected by that report.

The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 500845.

Respectfully submitted,

DALY, CROWLEY & MOFFORD, LLP

By:

Barry Gaiman

Barry Gaiman

Reg. No. 42,562

Agent for Applicant(s)

Dated: 10/22/01

275 Turnpike Street – Suite 101  
Canton, MA 02021-2310  
Telephone: (781) 401-9988  
Facsimile: (781) 401-9966

Form PTO-1449 (Rev. 8-83)		U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE							ATTY. DO NO. <b>MIT-075AUS</b>	APPLICATION NO. <b>Not Yet Assigned</b>		
		INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>							APPLICANT <b>Thomas A. Keim et al.</b>			
									FILING DATE <b>Herewith</b>	GROUP <b>Not Yet Assigned</b>		
U.S. PATENT DOCUMENTS												
EXAMINER INITIAL		DOCUMENT NUMBER						DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE*
		5	4	9	5	1	6	2	2/27/96	Rozman et al.		
		5	7	2	6	5	5	7	3/10/98	Umeda et al.		
		5	9	4	2	8	1	8	8/24/99	Satoh et al.		
		5	1	5	1	6	4	1	9/29/92	Shamoto		
		5	6	9	6	4	3	0	12/9/97	Erdman et al.		
		5	7	9	3	6	2	5	8/11/98	Balogh		
		5	7	0	5	9	1	7	1/6/98	Scott et al.		
		5	9	4	6	2	0	2	8/31/99	Balogh		
FOREIGN PATENT DOCUMENTS												
		DOCUMENT NUMBER						DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
		WO 98/28832						7/2/98	PCT			YES
		EP 0 778 662 A1						6/11/97	EP			NO
		EP 0 493 848 A2						7/8/92	EP			
		DE 195 19 298 A1						11/28/96	Germany			
		EP 0 849 112 A1						6/24/98	EP			
OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>												
		Search Report for PCT/US01/01669										
		Esam Hamid Ismail et al. "Single-Switch 3 Ø PWM Low Harmonic Rectifiers", IEEE Transactions On Power Electronics. Vol 11 No.2, March 1996, pp.338-346.										
		Vahé Caliskan et al. "Analysis of Three-Phase Rectifiers with Constant-Voltage Loads" 6 pages.										
		G. Venkataraman et al. "Variable Speed Operation of Permanent Magnet Alternator Wind Turbines Using a Single Switch Power Convertor", Journal of Solar Energy-Transactions of the Asme Vol.118 No.4, November 1996 , pp. 235-238.										
		A.R. Prasad et al. "An Active Power Factor Correction Technique for Three-Phase Diode Rectifiers" IEEE Transaction Power Electronics, Vol. 6 No. 1 January 1991, pp.83-92.										
Examiner		Date Considered:										
		*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and considered. Include copy of this form with next communication to applicant.										

Form PTO-1449 (Rev. 8-83)	U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. <b>MIT-075AUS</b>	APPLICATION NO. <b>Not Yet Assigned</b>
INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>		APPLICANT <b>Thomas A. Keim et al.</b>	
		FILING DATE <b>Herewith</b>	GROUP <b>Not Yet Assigned</b>

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner		Date Considered:
		*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and considered. Include copy of this form with next communication to applicant.

(702143)